

HTM or Not HTM?

This worksheet is intended to facilitate a dialogue on whether an activity is HTM. The actual determination will be based on discussions between the PI, the IRB, and DOE, with input from others as appropriate.

Aspects to Consider

- **What work will be conducted?**

If it involves analysis of information about beliefs, behavior patterns, attitudes, and/or motivations of certain groups of individuals among whom the military is operating and/or in countries prone to political instability, or development of models or software to be used for such analysis, it may be HTM.

- **Who is the sponsor?**

Organizations most likely to fund HTM work include:

- Department of Defense (DoD)¹
- The Intelligence Community
- Department of Homeland Security (DHS)
- State Department (DOS)
- National Science Foundation (NSF)

Sometimes the funding, though originating in Federal agencies, will be sent to DOE labs via universities or major corporations (i.e., Raytheon or SAIC). Other times, the work may be funded or co-funded by the DOE lab itself through Laboratory Directed Research and Development (LDRD) funds.

- **Is it being conducted in support of the Human Social Culture Behavior Program or the Human Terrain Systems Program?**

If so, it is very likely HTM.

- **What is the intended use of the product the DOE lab has been tasked to develop?**

If the work to be conducted looks like HTM (see first question and response, above), and the goal of the project is to help the U.S. military make decisions about actions to be taken in countries in which the it has a presence and/or in countries prone to political violence, it is likely to be HTM.

¹Partial list of DoD entities that may fund HTM projects:

[Defense Advanced Research Projects Agency \(DARPA\)](#)

[Defense Threat Reduction Agency \(DTRA\)](#)

[Office of the Secretary of Defense \(OSD\)](#)

[Office of Naval Research \(ONR\)](#)

[Training, Resources, and Doctrine Command \(TRADOC\)](#)

[US African Command \(AFRICOM\)](#)

[US European Command \(EUCOM\)](#)

[US Special Operations Command \(SOCOM\)](#)

Examples:

1. Your National Lab (YNL) is tasked with analyzing a large de-identified dataset provided by the Office of the Secretary of Defense regarding beliefs, behavior patterns, motivations, and attitudes of certain groups of individuals in a country of concern toward the U.S. and other neighboring countries in the Middle East. This project is being conducted as part of the DoD Human Social Culture Behavior (HSCB) program.

Determination: HTM

2. YNL is tasked with analyzing a large dataset provided by the Department of State regarding beliefs, behavior patterns, motivations, and attitudes of certain groups of individuals in Afghanistan toward the U.S. and other neighboring countries. The State Department will use this information to evaluate the effectiveness of its program for engaging weapons scientists in peaceful work.

Determination: Not HTM

3. YNL is tasked with analyzing multiple datasets provided by the Army Training and Doctrine Command in support of teams on the ground in Afghanistan or Iraq, for the purpose of assisting the military with making decisions about actions to take in these countries. This project is being conducted in support of the DoD Human Terrain Systems (HTS) Program.

Determination: HTM

4. YNL is tasked with developing software to be used by DoD to analyze large amounts of information regarding behavior patterns and motivations of groups of individuals among whom the military is operating and/or in countries prone to political violence.

Determination: HTM

5. YNL has decided to use LDRD funds to develop a tool likely to have HTM applications, though those applications are not yet determined, nor are future sponsors identified.

Determination: Not HTM

6. YNL has decided to use LDRD funds to develop a tool likely to have HTM applications, with agreement by the DoD Office of the Secretary that if the tool is successfully developed, DoD will fund further development/implementation of the tool under its HSCB program.

Determination: Not HTM, but the next generation (once funded by DoD) would be considered HTM.

7. YNL is tasked with developing software that will be used by DoD to determine if cognitive modeling can be used to assist the military in making decisions about actions to take in Iraq, Afghanistan, and other countries where the military has a presence. YNL will develop a cognitive model using only open-source data; no data will be provided by Federal agencies. At this point, this effort is not being conducted in support of the HSCB program or the HTS program.

Determination: Not HTM. However, if DoD decides, once the initial development has been completed, that it could be useful to military decision-making in Iraq and Afghanistan and funds further development under its HSCB or HTS program, DOE would then consider the effort HTM.

Additionally, it is important to remember that open-source data, once aggregated and manipulated, can become identifiable, and even classified (as in the case of WikiLeaks). This issue applies to both HTM and non-HTM projects.

Questions or suggestions? Please contact:

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